

Small Agency Consolidation Strategy Team Final Report

Submitted July 23, 2003

Background

The Small Agency Consolidation Strategy (SACS) team was chartered by the Virginia Information Technology Agencies (VITA) Transition team to identify strategies to meet legislation requiring all Virginia agencies with less than 100 Maximum Employment Level (MEL) to transition to VITA support by January 1st, 2004 per HB1926/SB1247. The team was chartered April 2003 with the following members:

<i>Role</i>	<i>Name</i>	<i>Title</i>	<i>Organization</i>
<i>Project Sponsor</i>	Cheryl Clark	Director	VITA Transition Office
<i>Project Manager</i>	Chris Saneda	CIO	Alcoholic Beverage Control
<i>Proponent Agency Head</i>	Jean R. Jensen	Director	State Board of Elections
<i>Customer (User) Representative(s)</i>	Susan McCleary	Deputy Director	State Board of Elections
<i>Team Members</i>	Belchior Mira Anne Wilmoth Kim Dorwin Paul Casalaspi	CIO IT Mgr Customer Service IT Director	Dept Human Resource Management State Compensation Board Dept of Information Technology Library of VA
<i>Agency Executive Resource</i>	Karen Rae Sara Wilson Bruce Haynes	Director Director Director	Dept of Rail & Public Transportation Dept Human Resource Management State Compensation Board

The team identified the following deliverables:

1. Create a schedule for the transition of small agency IT infrastructure services and associated staff
2. Deliver a process and implementation framework
3. Identify common small agency concerns and service needs
4. Recommend the VITA organization support structure for the small agencies

Approach

The Department of Technology Planning (DTP) provided the team a list of 58 small agencies to be transitioned to VITA, the full list is provided in Appendix A. Seventeen (17) of these agencies, as noted in Appendix B, were exempt due to merges or other considerations. The resulting list of 42 agencies and Secretary Offices was used as a baseline transition list.

The only data available to the SACS team was due diligence collected in the fall 2002. With outdated limited information and insufficient time for detailed technical analysis the team determined the best approach to meet the deliverables was to conduct personal interviews with each Agency Head and Agency Information Technology Resource (AITS). The team created categories that would aid completion of the four deliverables. Each category was assigned a weight factor to denote its relative importance. The resulting number indicates the anticipated transition complexity. Appendix C describes the categories in more detail.

Category	Weight Factor
Helpdesk Support	5
Server Response Time	5
Telco Response Time	5
Data Security	3
Physical Security	1
Server Location	1
Maturity and Complexity	3
Multiple Locations	3

It is important to note that the category weight factor and agency ratings are subjective. These are based on the perspective of the SACS interview team.

Results

1. Transition Schedule: As a result of the agency interviews a Complexity Matrix was established that rated the anticipated transition complexity. Based on a three (3) month transition period, September 15th through December 15th, 2003, the agencies were divided into three WAVES. Agencies with varying levels of complexity were placed in each WAVE so that no single WAVE would be overburdened with several complex transitions. In addition, agency peak business periods were taken into account so that transition was not occurring during a heavy activity period. The following table places each agency into a WAVE. Appendix D provides the complete Complexity Matrix.

Agency Code	Agency Name	WAVE	Start	Finish
132	State Board of Elections	Pilot	8/1/2003	9/19/2003
506	Motor Vehicle Dealer Board	1	9/15/2003	9/19/2003
239	Frontier Culture Museum of Virginia	1	9/15/2003	9/19/2003
163	Department for the Aging	1	9/29/2003	10/3/2003
505	Dept. of Rail & Public Transportation	1	9/29/2003	10/3/2003
170	Council on Human Rights	1	9/29/2003	10/3/2003
245	State Council of Higher Education for Virginia	1	10/6/2003	10/10/2003
962	Dept. of Employment Dispute Resolution	1	10/6/2003	10/10/2003
173	Charitable Gaming Commission	1	10/6/2003	10/10/2003
157	Compensation Board	1	10/13/2003	10/17/2003
423	Department of Historic Resources	2	10/13/2003	10/17/2003
841	Department of Aviation	2	10/13/2003	10/17/2003
148	Virginia Commission for the Arts	2	10/20/2003	10/24/2003
417	Gunston Hall	2	10/20/2003	10/24/2003
319	Chippokes Plantation Farm Foundation	2	10/20/2003	10/24/2003
960	Department of Fire Programs	2	10/27/2003	10/31/2003
169	Commonwealth Competition Council	2	10/27/2003	10/31/2003
200	Comp Services for At-Risk Youth and Families	2	10/27/2003	10/31/2003
405	Racing Commission	3	11/3/2003	11/7/2003
127	Department of Emergency Management	3	11/3/2003	11/7/2003
934	Center for Innovative Technology	3	11/3/2003	11/7/2003
408	Chesapeake Bay Local Assistance Department	3	11/10/2003	11/14/2003
942	Virginia Museum of Natural History	3	11/10/2003	11/14/2003
425	Jamestown-Yorktown Foundation	3	11/17/2003	11/21/2003
226	Board of Accountancy	3	11/17/2003	11/21/2003
325	Department of Business Assistance	3	11/17/2003	11/21/2003
232	Department of Minority Business Enterprise	3	12/1/2003	12/5/2003
	Virginia War Memorial, Board of Trustees	3	12/1/2003	12/5/2003
122	Department of Planning & Budget	3	12/1/2003	12/5/2003
180	Secretary of Administration	0		
192	Secretary of Commerce and Trade	0		
166	Secretary of the Commonwealth	0		
185	Secretary of Education	0		
190	Secretary of Finance	0		
188	Secretary of Health and Human Resources	0		
183	Secretary of Natural Resources	0		
121	Office of the Governor	0		
187	Secretary of Public Safety	0		
184	Secretary of Technology	0		
186	Secretary of Transportation	0		

Secretariats and the Governor's office were considered WAVE 0 as they inherently transitioned to VITA upon its creation on July 1, 2003.

2. Process and Implementation Framework: The State Board of Elections (SBE) volunteered to be a pilot transition agency. The pilot was used as a means to test transition processes, received candid feedback, and identify opportunities for improvement. A repeatable process was created that included the Agency Head/AITR Interview described above, technical assessment and analysis (Appendix E), remediation plan (Appendix F), and transition activities (Appendix G. Small Agency Transition Guide).

3. Common Concerns: The Agency Head/AITR interviews also revealed five reoccurring concerns regarding the VITA transition. These are being reviewed by the VITA Leadership team and, where practical, will become part of the annual customer satisfaction survey.

a) Funding - Small agencies are concerned they will not have adequate funding to pay for VITA services or DBP will not fund agencies to the level needed for VITA services. This concern is exacerbated by VITA not having rates/charges for services available for agencies.

VITA Approach: It is anticipated that savings captured by VITA initiatives will be reinvested into services and technologies. A portion of this reinvestment could be used to augment agency budgets to maintain a base level of technology capability.

b) Response Time - Small agencies are concerned VITA will not be able to respond to problems as quickly as current agency staff. Either people will be moved to support other agencies or Central Help Desk will add delays.

VITA Approach: VITA's commitment is to offer agencies the same or better service. Many agency IT personnel perform multiple job functions that often require them to "drop what they are doing" in order to respond to a helpdesk issue. By optimizing and leveraging skill sets across the Commonwealth in conjunction with measuring performance and increasing accountability, those individuals performing multiple job functions will become more productive by sharing responsibilities and being able to focus, and complete tasks.

c) Service Delivery - Small agencies are concerned VITA will not provide the same level of service to small agencies that are provided to medium and large agencies. Historically, larger agencies have more money and DIT has been more responsive to them.

VITA Approach: VITA's commitment is to offer agencies the same or better service. In addition, the model Memorandum Of Agreement (MOA) explicitly states that *"All service requests are treated equitably within the respective priority category. High Priority requests from a small agency are handled the same as a High Priority request from a large agency. In addition, a large agency High Priority request will not get precedence over a small agency High Priority request. VITA's commitment is to resolve all requests within the agreed upon MOA."*

d) Communications - Agencies would like to see dialogues and conversations take place as opposed to one-way communications; working collaboratively rather than having edicts issued. Too often agencies feel they supply information to with no outcome or follow-up. This lack of communication

makes agencies more hesitant when supplying information and supports the 'data-in-black-hole' theory. Agencies would like to see more informative communications, many suggested VITA newsletters.

VITA Approach: Teamwork is a VITA Value. We are committed to collaboration and working in an environment that is responsive and accountable. In addition, Success Through Partnership and Transparency are components of VITA Operational Excellence model. Again, the VITA culture is to work collaboratively and operate according to open, consistent and clear practices and principles so that the process of planning, provisioning and delivering IT services is a 'glass house.'

- e) Applications - Small agencies need assistance with business applications development and support. However, due to funding constraints, agencies have not been able to afford Central Agency services. Agencies feeling the rates currently charged by VITA are cost prohibitive, and subject to quality concerns.

VITA Approach: VITA rate structures are approved by JLARC and recognized as market competitive. Accountability is a VITA Value. We hold ourselves accountable and are passionate about measuring and monitoring to ensure rigorous quality and cost control. This means clear expectations are set among all entities and performance is monitored and reported.

Several 'quick-hits' were identified during the interview process. These are opportunities for VITA to improve customer relations by acting on readily solvable issues. This list is provided in Appendix I.

- 4. Support Structure: VITA has committed to same or better service. To achieve this it was necessary to review personnel Due Diligence data to identify gaps that resulted when agency personnel, that once performed IT functions, remained with the business thus leaving a service gap that VITA must fill.

Of the 32 small agencies transitioning to VITA by January 01, 2004, preliminary analysis shows that 9 FTE will transfer leaving a 17 MEL service gap. Appendix I shows the preliminary estimated staffing gap for each agency.

Summary

The SACS team discovered several challenges to a successful VITA transition. These challenges are grounded in a lack of trust due to historic precedence. To be successful, VITA must act consistently with its Values and Operational Excellence model; similarly, agencies must be accepting of the change and 'trust, but verify' that VITA is meeting its commitment.

Meeting the staffing gap will be a fundamental challenge that VITA will face. Again, collaboration from all agencies will be required to fill gaps throughout the 18 month transition period.

Appendix A. Original List of Small Agencies

Small Agencies by Secretariat

ADMINISTRATION

173 Charitable Gaming Commission
 157 Compensation Board
 132 Elections, State Board of
 962 Employment Dispute Resolution, Dept. of
 129* Human Resource Management, Department of
 131 Veterans Affairs, Department of
 169 Commonwealth Competition Council
 170 Human Rights, Council on
 Virginia War Memorial, Board of Trustees
 968* Local Government, Commission on
 128* Veterans Care Center Board of Trustees, VA

COMMERCE

226 Accountancy, Board of
 325 Business Assistance, Department of
 310* Economic Development Partnership, Virginia
 305* Milk Commission
 232 Minority Business Enterprise, Department of
 405 Racing Commission, Virginia
 320* Tourism Corporation, Virginia
 851 Tobacco Indemnification Commission
 972* Resources Authority, Virginia

EDUCATION

148 Arts, Virginia Commission for the
 245 Council of Higher Education for Virginia, State
 239 Frontier Culture Museum of Virginia
 417 Gunston Hall

H&HR

762* Rights for Virginians with Disabilities
 163 Aging, Department for the
 200 Comp Services for At-Risk Youth and Families
 751* Deaf & Hard of Hearing, Department for the
 606* Disabilities, Virginia Board for People with
 223* Health Professions, Department of
 852* Tobacco Settlement Foundation
 175* Protection and Advocacy, Virginia Office for

PUBLIC SAFETY

957 Commonwealth's Attorneys' Services Council
 127 Emergency Management, Department of
 960 Fire Programs, Department of
 123* Military Affairs, Department of

TRANSPORTATION

841 Aviation, Department of
 506 Motor Vehicle Dealer Board
 505 Rail & Public Transportation, Dept. of

NATURAL RESOURCES

319 Chippokes Plantation Farm Foundation
 408 Chesapeake Bay Local Assistance Department
 423 Historic Resources, Department of
 942 Museum of Natural History, Virginia

GOVERNOR'S OFFICE

186 Transportation, Secretary of
 180 Administration, Secretary of
 192 Commerce and Trade, Secretary
 166 Commonwealth, Secretary of the
 185 Education, Secretary of
 190 Finance, Secretary of
 188 Health and Human Resources, Secretary of
 183 Natural Resources, Secretary of
 121 Office of the Governor
 187 Public Safety, Secretary of
 184 Technology, Secretary of

TECHNOLOGY

934 Innovative Technology Authority
 137* Technology & Planning, Dept of

FINANCE

122 Planning & Budget, Department of
 152* Treasury, Department of the

Appendix B. Exempt Small Agencies by Secretariat

Agency		Reason For Exemption
ADMINISTRATION		
128	Veterans Care Center Board of Trustees, Virginia	Merged with Dept Veterans Affairs
968	Local Government, Commission on	Merged with Housing & Community Dev
129	Human Resource Management, Department of	Redefined as Medium agency
COMMERCE		
305	Milk Commission	Merged with Agriculture
320	Tourism Corporation, Virginia	
972	Resources Authority, Virginia	Non-state employees
310	Economic Development Partnership, Virginia	Non-state employees
PUBLIC SAFETY		
123	Military Affairs, Department of	Redefined as Medium agency
TECHNOLGY		
137	Technology & Planning, Dept of	Merged into VITA
FINANCE		
152	Treasury, Department of the	Redefined as Medium agency
H&HR		
223	Health Professions, Department of	Redefined as Medium agency
852	Tobacco Settlement Foundation	
851	Tobacco Indemnification Commission	
175	Protection and Advocacy, Virginia Office for	Treated as one Large agency within DRS
751	Deaf & Hard of Hearing, Department for the	Treated as one Large agency within DRS
606	Disabilities, Virginia Board for People with	Treated as one Large agency within DRS
762	Rights for Virginians with Disabilities	Treated as one Large agency within DRS

Appendix C. Complexity Matrix Categories

Category	Description	Low (1)	Medium-low (2)	Level Medium (3)	Medium-High (4)	High (5)
Helpdesk support	First line Network and Desktop Support: - Installation and upgrade of software for any OS (Server and Workstation); - Installation and upgrade of hardware in desktops, laptops, and printers; - Installation, setup, maintenance, support for Servers and Networking equipment - Resolve user issues within a fair response time; - Troubleshooting and PC hardware repairing; Note: Help desk for business applications is not in this scope	IT Staff is providing excellent support.				IT staff is providing poor support or support does not exist.
Server response time	- Total time elapsed between the initial customer request and the first data response (acceptable vs. not acceptable)	Fast				Slow
Telco response time	- Total time it takes for the call to be picked up by the call center - Total time in queue to reach an agent (living or IVR) - Total time a customer is on hold	Fast response times, no problems				Slow response times
Data security	- How data is protected from unauthorized (accidental or intentional) modification, destruction, or disclosure (privacy). - How backup, recovery, retention, and integrity are assured.	Excellent				Poor or does not exist
Physical security	Physical Access to the computer room: - Access control - Cabling protection - Off-site backups - Physical documents policy	Excellent				Poor or does not exist
Servers physical location	Local were servers reside and its environment - AC - Floor - Size - Equipment (amount of)	Excellent				Poor or does not exist
Maturity and complexity IT infrastructure	How technologically advanced and complex is the infrastructure: - New/Old technology - New/Old equipment - Homogeneity/Heterogeneity of equipment	Not complex				Very complex
Number of Locations	Number of distinct location across the State	1 location		Several locations in close proximity to each other		Many locations dispersed across the state

Appendix D. Complexity Matrix

Agency Code	Agency Name	Helpdesk support	Server response time	Telco response time	Data security	Physical security	Servers location	Maturity and complexity	Multi-Location Indicator	Weighted Sum	WAVE
Weight Factor		5	5	5	3	1	1	3	3		
132	Elections, State Board of									115.0	0
232	Minority Business Enterprise, Department of									114.0	3
325	Business Assistance, Department of									112.0	3
423	Historic Resources, Department of									110.5	3
169	Commonwealth Competition Council									106.0	2
960	Fire Programs, Department of									103.5	2
962	Employment Dispute Resolution, Dept. of									97.0	1
319	Chippokes Plantation Farm Foundation									97.0	2
934	Center for Innovative Technology									93.5	3
127	Emergency Management, Department of									92.0	3
226	Accountancy, Board of									90.5	3
942	Museum of Natural History, Virginia									86.5	3
173	Charitable Gaming Commission									84.5	1
157	Compensation Board									84.0	1
417	Gunston Hall									83.0	2
	Virginia War Memorial, Board of Trustees									80.5	3
122	Planning & Budget, Department of									79.5	2
170	Council on Human Rights									78.5	1
245	Council of Higher Education for Virginia, State									78.5	1
505	Rail & Public Transportation, Dept. of									78.0	1
408	Chesapeake Bay Local Assistance Department									77.0	3
131	Veterans Affairs, Department of									74.0	3
200	Comp Services for At-Risk Youth and Families									73.5	2
405	Racing Commission									72.0	3
148	Arts, Virginia Commission for the									69.5	2
163	Aging, Department for the									68.0	1
841	Aviation, Department of									68.0	2
239	Frontier Culture Museum of Virginia									66.0	1
506	Motor Vehicle Dealer Board									62.0	1
957	Commonwealth's Attorneys' Services Council									0.0	2

Appendix H. Estimated Staffing Gaps

Agency Code	Agency Name	CIO/C TO	Plan Manage	IT Audit	IT Procurement	Tech Desktop	Tech Mainframe	Tech Midrange/Server	Tech Network	Tech Security	DBA	Help Desk 0/1	Tech Telco	GIS	IT Admin Support	IT Support Other
957	Commonwealth's Attorneys' Services Council															
200	Comprehensive Services for At-Risk Youths and Families															
239	Frontier Cultural Museum															
962	Employment Dispute Resolution															
122	Department of Planning and Budget															
506	Motor Vehicle Dealer Board															
505	Department of Rails and Public Transportation															
480	Chesapeake Bay Local Assistance Department															
148	Virginia Commission for the Arts															
841	Department of Aviation															
163	Department for the Aging															
169	Commonwealth Competition Council															
170	Council on Human Rights															
606	Virginia Board for People with Disabilities															
751	Department for the Deaf and Hard of Hearing															
405	Virginia Racing Commission															
423	Department of Historic Resources															
851	Tobacco Indemnification and Revitalization Commission															
942	Virginia Museum of Natural History															
942	Virginia War Memorial Board of Trustee															
226	Board of Accountancy															
232	Department of Minority Business Enterprise															
219	Deaf & Blind & Multi-Disabled															
417	Gunston Hall															
310/320	Virginia Economic Partnership Development and Virginia Tourism Corporation															
132	State Board of Elections															
157	Compensation Board															
173	Charitable Gaming															
245	Council on Higher Education for Virginia															
325	Dept. of Business Assistance															
127	Dept. of Emergency Management															
960	Dept. of Fire Programs															
Total for Category		1.87	2	0.52	1.44	2.48	0.32	1.12	1.18	0.87	4.01	2.86	0.64	1.9	1.03	3.84
Fractional MEL Service Gap		26.08														
Total Small Agency FTE MEL to VITA		9.00														
Service Gap to be filled by VITA		17.08														

Appendix I: Quick-Hit List

	WAVE	Quick Hit Issue
173 Charitable Gaming Commission	1	<ul style="list-style-type: none"> - Provide remote access to email and calendars - Explore and spec out laptops/Blackberrys for remote/senior staff. - Applications support
157 Compensation Board	1	<ul style="list-style-type: none"> - Provide remote access to file server
962 Employment Dispute Resolution, Dept. of	1	<ul style="list-style-type: none"> - Provide assistance on access database
170 Human Rights, Council on	1	<ul style="list-style-type: none"> - Establish regular VITA newsletter
232 Minority Business Enterprise, Department of	3	<ul style="list-style-type: none"> - Cannot print VITA-generated reports at remote location. Niprint installed, must go to VDOT to pick-up print jobs. Problem 2 years old
405 Racing Commission, Virginia	3	<ul style="list-style-type: none"> - Cost effective application support
148 Arts, Virginia Commission for the	2	<ul style="list-style-type: none"> - Equipment is outdated. - Agency head does not have the needed software to open attachments
417 Gunston Hall	2	<ul style="list-style-type: none"> - assistance on Web page
163 Aging, Department for the	1	<ul style="list-style-type: none"> - Provide staff back-up to enable sole support to take vacation - Help enable VPN for director
960 Fire Programs, Department of	2	<ul style="list-style-type: none"> - Assistance with remote off-site back-up and storage for disaster recovery and business resumption
841 Aviation, Department of	2	<ul style="list-style-type: none"> - Assist with circuit outage problem
505 Rail & Public Transportation, Dept. of	1	<ul style="list-style-type: none"> - Help solve issues with Exchange Server
319 Chippokes Plantation Farm Foundation	2	<ul style="list-style-type: none"> - Needs repair assistance at remote site. Director currently drives an hour to pick-up defective devices, have repaired in Richmond and return (about a week turn-around)
408 Chesapeake Bay Local Assistance Department	3	<ul style="list-style-type: none"> - Perform equipment specification and installation as needed
423 Historic Resources, Department of	3	<ul style="list-style-type: none"> - Cost effective applications support
942 Museum of Natural History, Virginia	3	<ul style="list-style-type: none"> - Needs assistance installing and addressing printer problems. - Need assistance in finding software drivers for special-use dot matrix printer